

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

NESSA RISLEY, individually
and on behalf of all others similarly situated,

Plaintiff,

v.

UNIVERSAL NAVIGATION INC. dba UNISWAP
LABS, HAYDEN Z. ADAMS, PARADIGM
OPERATIONS LP, AH CAPITAL
MANAGEMENT, L.L.C. dba ANDREESSEN
HOROWITZ, and UNION SQUARE VENTURES,
LLC,

Defendants.

No. 1:22-cv-02780-KPF

Honorable Katherine Polk Failla

DECLARATION OF JAMES R. SERRITELLA

James R. Serritella, declares, under penalty of perjury and pursuant to 28 U.S.C. § 1746, that the following is true and correct:

1. I am a partner at Kim & Serritella LLP (“K&S”). I am admitted to the bar of the State of New York, admitted to practice before this Court, and am in good standing.
2. I respectfully submit this declaration in opposition to the motions, by Defendants, to dismiss the Plaintiffs’ First Amended Complaint (“FAC”). The documents attached hereto are all true and correct copies.
3. A copy of the “Uniswap Help Center” post named, “How to Swap Tokens” is attached hereto as **Exhibit A** and was obtained from Defendant Uniswap’s website
4. A screenshot of the Auto Router third-party API is attached hereto as **Exhibit B** and was obtained from Uniswap’s website.
5. A copy of the article, “A Legal Framework for Decentralized Autonomous Organizations” is attached hereto as **Exhibit C** and was obtained from Defendant AH Capital

Management, L.L.C. dba Andreessen Horowitz’s website; relevant portions thereof have been highlighted.

6. A copy of the article, “Analyzing Voting Power in Decentralized Governance: Who Controls DAOs?” is attached hereto as **Exhibit D** and referenced in the FAC at ¶¶ 143-147.

7. A copy of the v3 Core Use License is attached hereto as **Exhibit E**, is referenced in the FAC at ¶¶ 121 and 164, and was obtained from Defendant Uniswap’s website.

8. A copy of the post, “Introducing Permit2 & Universal Router” is attached hereto as **Exhibit F** and was obtained from Defendant Uniswap’s website.

9. A copy of the article, “Report: 97.7% of tokens launched on Uniswap are rug pulls” is attached hereto as **Exhibit G** and was obtained from: <https://www.cryptopolitan.com/uniswap-accounts-for-97-7-of-token-rug-pulls/> (last accessed February 6, 2023).

10. A copy of the article reporting SEC Chairman Gensler’s September 2021 comments “DeFi” is attached hereto as **Exhibit H**, referenced in the FAC at ¶ 98, n. 8, and was obtained from: <https://www.wsj.com/articles/cryptos-defi-projects-arent-immune-to-regulation-secs-gensler-says-11629365401#> (last accessed February 6, 2023).

11. A copy of the v1 Whitepaper is attached hereto as **Exhibit I** and was obtained from a link on Defendant Uniswap’s website.

I declare, under penalty of perjury, that the foregoing is true and correct to the best of my knowledge.

Dated: New York, New York
February 6, 2023

/s/ James R. Serritella
James R. Serritella